

REQUEST FOR ACCESS TO AN ABANDONED APPLICATION UNDER 37 CFR 1.14

Bring completed form to:
File Information Unit
Crystal Plaza Three, Room 1D01
2021 South Clark Place
Arlington, VA
Telephone: (703) 308-2733

In re Application of

MAURO et al.

Application Number

09/292 55 2

Filed

4-15-99

Paper No.

33

I hereby request access under 37 CFR 1.14(a)(1)(iv) to the application file record of the above-identified ABANDONED application, which is identified in, or to which a benefit is claimed, in the following document (as shown in the attachment):

United States Patent Application Publication No. _____, page, _____ line _____.

United States Patent Number _____, column _____, line, _____ or

WIPO Pub. No. 00/52619, page FP, line _____.

Related Information about Access to Pending Applications (37 CFR 1.14):

Direct access to pending applications is not available to the public but copies may be available and may be purchased from the Office of Public Records upon payment of the appropriate fee (37 CFR 1.19(b)), as follows:

For published applications that are still pending, a member of the public may obtain a copy of:

- the file contents;
- the pending application as originally filed; or
- any document in the file of the pending application.

For unpublished applications that are still pending:

- (1) If the benefit of the pending application is claimed under 35 U.S.C. 119(e), 120, 121, or 365 in another application that has: (a) issued as a U.S. patent, or (b) published as a statutory invention registration, a U.S. patent application publication, or an international patent application publication in accordance with PCT Article 21(2), a member of the public may obtain a copy of:
 - the file contents;
 - the pending application as originally filed; or
 - any document in the file of the pending application.
- (2) If the application is incorporated by reference or otherwise identified in a U.S. patent, a statutory invention registration, a U.S. patent application publication, or an international patent application publication in accordance with PCT Article 21(2), a member of the public may obtain a copy of:
 - the pending application as originally filed.

Yacov Asghedom
Signature

Yacov Asghedom
Typed or printed name

Registration Number, if applicable

703 625 6651

Telephone Number

3/4/04
Date

Date

FOR PTO USE ONLY

Approved by: _____

(initials)

Unit: _____



INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification ⁷ :

G06F 17/60, 17/00

A1

(11) International Publication Number:

WO 00/52619

(43) International Publication Date:

8 September 2000 (08.09.00)

(21) International Application Number: PCT/US00/05150

(22) International Filing Date: 29 February 2000 (29.02.00)

(30) Priority Data:

60/122,208

1 March 1999 (01.03.99)

09/292,552

15 April 1999 (15.04.99)

09/292,553

15 April 1999 (15.04.99)

US

US

US

(71) Applicant: WIT CAPITAL CORPORATION [US/US]; 826 Broadway, New York, NY 10003 (US).

(72) Inventors: MAURO, Charles, L.; 130 East 75th Street, New York, NY 10021 (US). KLEIN, Andrew, D.; 70 East 10th Street, New York, NY 10003 (US). BUIST, Walter, D.; 405 Springfield Avenue, Hasbrouck, NJ 07604 (US).

(74) Agents: MORRIS, Francis, E. et al.; Pennie & Edmonds LLP, 1155 Avenue of the Americas, New York, NY 10036 (US).

(81) Designated States: AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).

Published

With international search report.

(54) Title: A SYSTEM AND METHOD FOR CONDUCTING SECURITIES TRANSACTIONS OVER A COMPUTER NETWORK

(57) Abstract

The system and method of the preferred embodiment supports trading of securities over the Internet both on national exchanges and outside the national exchanges. In a preferred embodiment, users are subscribers to a securities trading service offered over the Internet. Preferably, each subscriber to this service is simultaneously connected from his own computer to a first system which provides user-to-user trading capabilities and to a second system which is a broker/dealer (42) system of his/her choice. The system providing the user-to-user trading services preferably includes a root server (50) and a hierarchical network of replicated servers supporting replicated databases. The user-to-user system provides real-time continuously updated stock information and facilitates user-to-user trades that have been approved by the broker/dealer systems with which it interacts.

